



Fiscal Years 2000 and 2001 Performance Plans

Introduction

The U.S. International Trade Commission (Commission) is pleased to present these Performance Plans for fiscal years (FY) 2000 and 2001, which were prepared in accordance with the provisions of the Government Performance and Results Act. In October 1998, the Commission issued the third edition of its Strategic Plan and Performance Plans for FY 1999 and 2000. In conducting its annual review of the strategic planning process, the Commission now has determined to issue interim adjustments to its Strategic Plan and to make corresponding changes in the FY 2000 Performance Plan. Consequently, this document comprises a revised FY 2000 Performance Plan, as well as a FY 2001 Performance Plan.

The Commission has one program activity set forth in the Budget of the United States, but has for the purposes of its Strategic Plan and these Performance Plans divided the agency's functions into five operations. The Performance Plans establish goals to define the level of performance to be achieved by each operation in FY 2000 and 2001. As provided for in the Results Act, the Commission has sought to express those performance goals in an objective, quantifiable, and measurable form. To the extent practicable, the Commission has established outcome-oriented goals. Output-oriented goals appear in the Plans only if they constitute appropriate and significant measures of performance. The Performance Plans reproduce the strategic goals that are set out in the Commission's Strategic Plan, as revised, and establish FY 2000 and 2001 performance goals corresponding to each strategic goal.

The Performance Plans also set out for each performance goal one or more performance indicators that the Commission will use in measuring the relevant outputs and outcomes of each operation and that provide a basis for comparing actual program results with the performance goals. The Performance Plans describe briefly, with respect to each operation, the operational processes, skills and technology, and the human, capital, information, or other resources required to meet the performance goals.

To enhance the effectiveness of strategic planning, the Commission has undertaken to integrate the strategic planning process with the budget formulation process; the first step has been to overhaul the codes by which agency functions are reported by matching them to the operations set out in the Strategic Plan. In the FY 2000 and 2001 Performance Plans, the description of resources required to meet each operation's goals includes an estimated range of the resources allocated to that operation. The use of ranges in part results from the flexibility of the Commission's staff who can to an extent shift among operations depending on workload. As the strategic planning and budget processes become more integrated over time, the Commission expects to achieve greater specificity in those estimates.

The planning process at the Commission includes planning for information resources management as provided for under the Information Technology Management Reform Act of 1996. The Commission has developed an information technology (IT) strategic plan, and the FY 2000 and 2001 Performance Plans reflect coordination with the agency's IT planning effort. The Commission has implemented and will continue to implement IT enhancements to the agency's operations, such as the Electronic Docket Information System (EDIS), the DataWeb, and the agency's World Wide Web site. The agency is working on means to accept electronic filings and signatures, in accordance with the Government Paperwork Elimination Act and as a part of increasing the provision of electronic services to customers. The Commission seeks to manage information in the most effective and efficient manner. This includes providing as much information to customers and the public on agency operations as practicable, and, as called for in Executive Order 13111, Using Technology To Improve Training Opportunities for Federal Government Employees, providing appropriate training to agency staff.

The Commission will perform an annual verification and validation of measured values. For each operation, a senior agency manager will serve as Operation Coordinator. Among the duties of the Operation Coordinators will be the responsibility to perform that verification and validation, under the general oversight of the Strategic Planning Committee. That process will involve review of the logs and reports generated by staff offices as set out in the performance indicators, and such other procedures as the Operations Coordinators determine to implement, including the use of existing recordkeeping processes, and automated systems such as EDIS.

The Commission made progress in FY 1999 toward the achievement of the goals set out in the Performance Plan for that period. The Operations Coordinators have developed a variety of customer surveys and logs to measure the agency's success at meeting those goals. As provided for in the Results Act, the Commission anticipates issuing a program performance report by the end of March 2000.

Interim adjustments to the Strategic Plan

As a result of its annual review of strategic planning, the Commission has determined to make a number of minor adjustments to the Strategic Plan. These adjustments are set out below:

In accordance with the Government Paperwork Elimination Act, the Commission plans to develop means to accept electronic filings and signatures by 2003. This new goal will affect virtually every operation in the Strategic Plan.

Operation No. 3, Research Program, included the conduct of "quick response" research and analyses for the Congress and the Executive Branch on trade issues in the form of staff-to-staff assistance, making the agency's extensive resident expertise immediately available to key decisionmakers in the trade area. Upon further review, the Commission has determined to move that function into Operation No. 5, Trade Policy Support, because the most appropriate way to characterize it is as support to policymaking. Accordingly,

performance indicators 1(a)(vi) and 2(a)(iii) are removed from Operation No. 3.

The Commission is clarifying the description of Operation No. 3 to cover the fact that the expertise developed in the Commission’s research program is also used in providing technical assistance on industry and trade to the general public and the business trade community. This assistance is provided both informally in immediate responses to telephone inquiries and more formally through written correspondence and public addresses. Also, the agency is committed to devoting the necessary resources to such areas as service industries, non-tariff barriers, dynamic effects on trade, the consequences of regional trade agreements, intellectual property issues, and the interaction between trade and social issues.

Two strategies have been added to the list in Operation No. 3, in order to better address performance in this Operation: (1) “maintaining high quality modeling and economic expertise, and creating an environment for innovative research;” and (2) “initiating research studies on cutting-edge trade-related issues, applying rigorous economic analysis to these issues and adding new, useful insights on them, and providing the results in highly accessible reports that add significantly to the policy dialogue.”

Strategic goal 3(a) in Operation No. 4, Trade Information Services, provided for completing work on or before deadlines. Because trade information work products generally are not produced under specific statutory or regulatory deadlines, that goal has been removed.

The description of the activities covered by Operation No. 4 has been amended to relocate a function and add specificity. The preparation of Presidential proclamations, previously referenced in Operation No. 4, relates more to trade policy support, and therefore has been moved to Operation No. 5. The description in Operation No. 4 now will include a specific reference to a function already in Operation No. 4, i.e., periodic and specifically requested reports on U.S. bilateral, regional, and multilateral trade relations.

Strategic goal 2(a) in Operation No. 5, Trade Policy Support, has been modified to replace customer surveys with focus group discussions to better evaluate performance in this Operation.

Mission statement

The mission of the Commission is twofold: Administer U.S. trade remedy laws in a fair and objective manner; and provide the President, the USTR, and the Congress with independent, quality advice and information on matters of international trade and competitiveness.

In so doing, the Commission contributes to the development and implementation of sound and informed U.S. trade policy.

Guide to abbreviations used in the Plans

Abbreviations	Meanings
ALJ	Administrative Law Judge
APO	Administrative protective order
Blue Book	<i>Antidumping and Countervailing Duty Handbook</i>
DIOC	Document Imaging Oversight Committee
EDIS	Electronic Docket Information System
EC	Office of Economics
ER	Office of External Relations
GC	Office of the General Counsel
ID	Initial determination by an ALJ
IND	Office of Industries
INV	Office of Investigations
OIS	Office of Information Services
OUII	Office of Unfair Import Investigations
OP	Office of Operations
Red Book	<i>An Introduction to Administrative Protective Order Practice in Antidumping and Countervailing Duty Investigations</i>
SE	Office of the Secretary
TATA	Office of Tariff Affairs and Trade Agreements
TEO	Temporary exclusion order
URAA	Uruguay Round Agreements Act
USTR	United States Trade Representative

OPERATION NO. 1: IMPORT INJURY INVESTIGATIONS

The Commission conducts import injury investigations primarily under 19 U.S.C. §§ 1671 *et seq.*, 2252, and 2436; and 7 U.S.C. § 624. The Commission will in FY 2000 and 2001 seek to improve its performance in conducting import injury investigations by improving public access to information about the process, insuring its procedures are fair and properly implemented, gathering adequate records, and completing proceedings on time. To those ends, the Commission plans to update informational materials and as appropriate develop new ones, seek feedback from participants and provide them with investigative data, perform internal checks and reviews on record adequacy, and meet deadlines. External factors affecting performance of this function include industry decisions on whether to file cases, Commerce Department determinations, judicial and panel review, and changes in legislation. The Commission consults and will continue to consult as necessary with the Department of Commerce on the two agencies' similar yet distinct roles in the antidumping and countervailing duty investigative process. In FY 1999, the Commission updated the Blue Book; issued its first user survey and received a number of responses which are being analyzed; created and maintained logs on the actions listed in the goals; and took other steps to carry out the goals in Operation No. 1.

Processes and Resources Required to Meet Performance Goals

Meeting the performance goals in Operation No. 1 will require the efforts of many Commission offices. The investigators and financial analysts in INV and the attorneys in OGC will track the performance indicators and perform other functions as described above. Personnel in those offices as well as Commissioners, the economists in EC, commodity analysts in IND, attorneys in TATA, and the Secretary and the docket and publication staff in SE, will devote substantial resources to participation in investigations, particularly in view of the increased demands placed on agency resources by the five-year ("sunset") review cases. Because of those increased demands, the Commission has sought new funding, has hired new personnel, and has amended its regulations. OIS will provide support for automated data systems; a particularly important project in the next few years will be the automation of questionnaire transmission and processing, as part of the Commission's efforts in accordance with the Government Paperwork Elimination Act. The Office of Administration will provide administrative support. Office directors will insure that employees receive appropriate training for the accomplishment of their duties. The Commission estimates that Operation No. 1 accounts for a share of Commission resources that has ranged approximately from 30 percent to 37 percent.

Strategic Goals		FY 1999 Performance Goals	FY 2000 Performance Goals	FY 2001 Performance Goals	Performance Indicators
1(a)	Periodically update existing handbooks and other materials, and evaluate need for and as necessary develop new materials.	Blue Book updated; INV/GC complete initial evaluation.	Red Book updated; INV/GC complete updated evaluation and implement findings.	Blue Book updated; INV/GC complete updated evaluation and implement findings.	INV/GC/SE prepare updates and conduct evaluations.
2(a)	Obtain feedback from users of the process on investigative procedures.	INV/GC conduct first user survey by 9/30/99.	Summary of survey results circulated to Commission with recommendations for any appropriate changes in procedures.	INV/GC conduct second user survey by 9/30/01; results are favorable compared to first survey results.	INV/GC compile survey results and recommend any appropriate changes.
2(b)	Make available APO material and public versions of reports in accordance with established guidelines, modified as appropriate based on user feedback.	Same as strategic goal.	Same as strategic goal.	Same as strategic goal.	INV maintains log of releases.
3(a)	Obtain feedback from Commissioners on the availability of data.	INV and GC poll Commissioners at least quarterly.	INV and GC poll Commissioners at least quarterly.	INV and GC poll Commissioners at least quarterly.	INV and GC compile poll results.
3(b)	Circulate draft staff reports to the investigative team for review; draft legal issues memoranda and draft opinions to the team for comment on factual accuracy and confidentiality.	Same as strategic goal.	Same as strategic goal.	Same as strategic goal.	INV tracks issuance of draft reports; GC tracks draft memoranda and draft opinions.
4(a)	Meet administrative deadlines for staff reports, legal issues memoranda, and draft opinions; meet statutory deadlines for determinations.	Same as strategic goal.	Same as strategic goal.	Same as strategic goal.	INV tracks deadlines and issuance dates for reports and determinations; GC for memoranda and draft opinions.

OPERATION NO. 2:

Intellectual Property-Based Import Investigations

The Commission conducts intellectual property-based import investigations primarily under 19 U.S.C. § 1337. The Commission plans to undertake activities during FY 2000 and 2001 to measure and enhance performance with respect to three central concerns in the Section 337 area: the expeditious completion of proceedings, the effectiveness of the agency's orders, and providing information to the public about the process. The Commission will collect and analyze data regarding the length of investigations and ancillary proceedings and the Commission's compliance with key statutory and administrative deadlines; survey complainants who obtained exclusion orders regarding whether imports subject to exclusion have stopped and then develop recommendations in light of survey results; and ensure that new filings are input into the Commission's document imaging system in a timely manner and that additional types of information are made available to the public. External factors affecting performance of this function include the decisions of businesses to file cases, judicial review, legislative changes, and Customs Service enforcement of orders. The Commission consults and will continue to consult as necessary with the Customs Service on the two agencies' related yet distinct roles in the exclusion of unfairly traded imports. In FY 1999, the Commission prepared and tested its first survey; created and maintained logs on the actions listed in the goals; and took other steps to carry out the goals in Operation No. 2.

Processes and Resources Required to Meet Performance Goals

Meeting the performance goals in Operation No. 2 will require substantial participation by the Commissioners and several staff offices. The investigative attorneys in OUII, the attorneys in OGC, and the Secretary and the docket and publication staff in SE will perform the functions assigned to them above. Those offices, the Office of the ALJs, and the Commissioners will devote substantial resources to the expeditious resolution of Section 337 disputes. OUII and OGC will devote substantial resources to enhancing the effectiveness of relief for violations. OUII, GC, OIS, and SE will each contribute significantly to insuring the availability of information pertaining to Section 337. OIS also will provide support for automated data systems, particularly including upgrading and maintenance of EDIS, as well as of the online version of EDIS. The Office of Administration will provide administrative support. Office directors will insure that employees receive appropriate training for the accomplishment of their duties. The Commission estimates that Operation No. 2 accounts for a share of Commission resources that has ranged approximately from 10 percent to 12 percent.

Strategic Goals	FY 1999 Performance Goals	FY 2000 Performance Goals	FY 2001 Performance Goals	Performance Indicators
1(a) Meet statutory and key administrative deadlines.	Same as strategic goal.	Same as strategic goal.	Same as strategic goal.	<p>OUII tracks:</p> <p>(i) Time between institution of investigation and filing of complaint;</p> <p>(ii) Time between institution and setting of target dates;</p> <p>GC tracks:</p> <p>(iii) Time between ALJ's issuance of final ID and target date for issuance of final ID, and time between Commission's issuance of final determination and target date for completion of investigation;</p> <p>(iv) In TEO proceedings, time between notice of institution, ID, and determination.</p>

Strategic Goals	FY 1999 Performance Goals	FY 2000 Performance Goals	FY 2001 Performance Goals	Performance Indicators
1(b) Conclude section 337 investigations in time frames that are consistent with the URAA.	OUII/GC compile data on length of: (a) investigations concluded during the 3 years before the URAA, and (b) investigations that were commenced during FY 1998 and 1999; decide whether to categorize investigations by type and compare on that basis.	Length of investigations commenced during FY 1999 and 2000 is consistent with pre-URAA data.	Length of investigations commenced during FY 2000 and 2001 is consistent with pre-URAA data.	For investigations in which Commission made final determinations on violation, OUII/GC compile data on length of investigations.
1(c) Reduce average time to conclude ancillary proceedings.	OUII compiles data on length of past ancillary proceedings (advisory opinion, modification and enforcement); GC on new proceedings.	Average length of FY 2000 ancillary proceedings is less than baseline.	Average length of FY 2001 ancillary proceedings is less than baseline.	OUII/OGC report on comparison of lengths of proceedings.
2(a) Address reports of violations of remedial orders in a timely manner.	Same as strategic goal.	Same as strategic goal.	Same as strategic goal.	OUII/GC track: (i) calls and letters re purported violations and responses thereto; (ii) letters from Customs and resulting seizure and forfeiture notices;
2(b) Establish mechanisms to insure the Commission has information regarding effectiveness of orders and uses that information to further enforcement objectives.	(i) OUII/GC develop and pre-test survey of complainants who obtained exclusion orders regarding whether subject imports have stopped. (ii) OUII/OGC form working group to develop and implement proposals to bolster enforcement.	(i) OUII/GC conduct survey, report results. (ii) Working group develops proposals in light of survey results.	(i) OUII/GC consider whether follow-up survey is appropriate, and if so conduct such survey. (ii) Working group implements proposals in light of survey results.	(i) OUII/GC report on development and results of survey and on responses. (ii) OUII/GC report on working group proceedings.

Strategic Goals	FY 1999 Performance Goals	FY 2000 Performance Goals	FY 2001 Performance Goals	Performance Indicators
3(a) Increase information accessible to the public via electronic and other means.	<p>(i) OUII compiles inventory of information now on agency Web site, and adds list of exclusion orders.</p> <p>(ii) SE scans b of new filings into EDIS within 2 business days after filing, and $\frac{3}{4}$ within 4; periodically assesses update rate and impact of transition five-year ("sunset") review cases on rate.</p> <p>(iii) DIOC develops audit of process for updating evidentiary records and sets timeliness goals for FY 2000.</p>	<p>(i) OUII identifies additional items of interest and adds to site, and updates inventory.</p> <p>(ii) SE refines and implements update rate goals in view of the five-year reviews; periodically assesses update rate.</p> <p>(iii) SE/OIS implement timeliness goals defined for FY 2000 and establish goals for FY 2001.</p>	<p>(i) OUII identifies additional items of interest and adds to site, and updates inventory.</p> <p>(ii) SE refines and implements update rate goals in view of the five-year reviews; periodically assesses update rate.</p> <p>(iii) SE/OIS implement timeliness goals defined for FY 2001 and establish goals for FY 2002.</p>	<p>(i) OUII reports on inventory.</p> <p>(ii) SE/OIS track time between filing and scanning of submissions accepted for filing.</p> <p>(iii) SE/OIS tracks time between submission and scanning of section 337 evidentiary records.</p>

OPERATION NO. 3:

Research Program

The Commission conducts its research program primarily under 19 U.S.C. §§ 1332, 2151, 2163, 2704, and 3204. The Commission will seek to enhance the performance of its research program in FY 2000 and 2001 with respect to customer recognition of its work product, development of expertise, and timeliness. The agency will attempt to maintain or increase a number of indicators, such as the number of requests for studies and the number of self-initiated studies, and to insure that deadlines are met. External factors affecting performance of this function include customer requests for studies, transition five-year (“sunset”) review cases, and legislative changes. In FY 1999, the Commission began including “mailback” survey forms in each published report and received responses that are being analyzed; created and maintained logs on the actions listed in the goals; and took other steps to carry out the goals in Operation No. 3.

Processes and Resources Required to Meet Performance Goals

Meeting the performance goals in Operation No. 3 will require EC and IND to gather information on performance indicators. Those offices, the Commissioners, staff in ER, staff in TATA, the Secretary and the docket and publication staff in SE, and attorneys in OGC will contribute substantial resources to the research program. OIS will provide support for automated data systems. A significant portion of this support comes in the form of programming assistance required for the large probable economic effects investigations conducted by IND. The Office of Administration will provide administrative support. Office directors will insure that employees receive appropriate training for the accomplishment of their duties. The Commission estimates that Operation No. 3 accounts for a share of Commission resources that has ranged approximately from 40 percent to 46 percent.

Strategic Goals	FY 1999 Performance Goals	FY 2000 Performance Goals	FY 2001 Performance Goals	Performance Indicators
1(a) Obtain increased use of ITC research capabilities/products by customers: <ul style="list-style-type: none"> • Congress and USTR • Peers • Public. 	OP determines baseline measurements for performance indicators.	Level of performance indicators shows improvement over baseline.	Level of performance indicators shows improvement over baseline.	OP will track: <ul style="list-style-type: none"> (i) Level of visitors downloading reports from ITC Internet site; (ii) Requests for hard copies of reports; (iii) Written comments from users; (iv) Numbers of witnesses and Members of Congress testifying at section 332 hearings; (v) Number of new requests for section 332 investigations.
2(a) Institute study initiatives in emerging areas/issues, including country and regional topics.	OP establishes, based on historical data, baseline number of initiatives instituted.	Number of initiatives consistent with baseline.	Number of initiatives consistent with baseline.	OP will track numbers of self-initiated research articles, working papers and research notes, and presentations at professional meetings/conferences.
3(a) Complete work on or before deadlines.	Same as strategic goal.	Same as strategic goal.	Same as strategic goal.	OP will track percent of section 332 reports to requesters on time

OPERATION NO. 4:

Trade Information Services

The Commission provides trade information services primarily pursuant to 19 U.S.C. §§ 1332, 1484, 3005, 3007, and 3010. The Commission will in FY 2000 and 2001 address its performance in providing trade information services by seeking to increase the use of those services by customers and obtaining feedback, and has established goals and indicators to those ends. External factors affecting performance of this function include customer requests for assistance, and legislative changes. In FY 1999, the Commission prepared its first survey; created and maintained logs on the actions listed in the goals; and took other steps to carry out the goals in Operation No. 4.

Processes and Resources Required to Meet Performance Goals

Meeting the performance goals in Operation No. 4 will require the staff in TATA and the information resources and library staff in OIS to gather information on performance indicators. Those offices, the Commissioners, commodity analysts in IND, the Secretary and the docket and publication staff in SE, economists in the Office of Economics, staff in ER, and attorneys in OGC will contribute significant resources to the provision of trade information services. OIS also will provide support for automated data systems. Information technology, such as the agency's DataWeb server, plays an important role in trade information services. Of particular importance will be process redesign for the Harmonized Tariff Schedule. The Office of Administration will provide administrative support. Office directors will insure that employees receive appropriate training for the accomplishment of their duties. The Commission estimates that Operation No. 4 accounts for a share of Commission resources that has ranged approximately from 5 percent to 10 percent.

Strategic Goals	FY 1999 Performance Goals	FY 2000 Performance Goals	FY 2001 Performance Goals	Performance Indicators
1(a) Obtain increased use of ITC trade data and nomenclature expertise by customers: <ul style="list-style-type: none"> • Congress and USTR • Peers • Public 	TATA/OIS establishes baseline measurements.	Higher levels than baselines.	Higher levels than baselines.	TATA/OIS track use of data by customers.
2(a) Obtain feedback through: <ul style="list-style-type: none"> • ER • Customer contacts/surveys. 	TATA conducts first customer survey; ER establishes contact mechanisms.	TATA participates in focus group discussions arranged by ER, and takes action if indicated.	TATA participates in focus group discussions, and feedback is positive compared to FY 2000.	TATA analyzes the compilation of results of discussions made by ER.

OPERATION NO. 5:

Trade Policy Support

The Commission provides trade policy support primarily under 19 U.S.C. §§ 1332 and 2171. During FY 2000 and 2001, the Commission plans to improve its performance in the provision of trade policy support with respect to acceptance as a participant in appropriate organizations and as a provider of support. To accomplish this, the Commission has set goals for establishing a list of organizations appropriate for participation and assuring participation in those organizations, as well as for seeking and improving feedback from customers. External factors affecting performance of this function include customer requests for assistance, and legislative changes. In FY 1999, the Commission created and maintained logs on the actions listed in the goals; and took other steps to carry out the goals in Operation No. 5. The Commission also determined that customer surveys were not the most efficient means to obtain useful feedback to measure the diverse and frequently changing activities encompassed in this Operation. Rather, focus group discussions with principal customers will be utilized to gauge the effectiveness of support to policy makers. Based on quarterly reporting of assistance provided by this Operation, the most resource intensive activities will be identified. Focus group discussions will then be scheduled with the principal customers involved with those activities so that needed improvements in support can be identified and implemented.

Processes and Resources Required to Meet Performance Goals

Meeting the performance goals in Operation No. 5 will require the staff of ER to gather information on participation in organizations and feedback. The Commissioners, commodity analysts in IND, economists in the Office of Economics, staff in TATA, and attorneys in OGC also will contribute resources to the provision of trade policy support. The OIS will provide support for automated data systems. The Office of Administration will provide administrative support. Office directors will insure that employees receive appropriate training for the accomplishment of their duties. The Commission estimates that Operation No. 5 accounts for a share of Commission resources that has ranged approximately from 2 percent to 5 percent.

Strategic Goals	FY 1999 Performance Goals	FY 2000 Performance Goals	FY 2001 Performance Goals	Performance Indicators
1(a) Regularly contribute technical advice in organizations where Commission participation is appropriate.	ER develops list of appropriate organizations and log to track participation.	Commission regularly participates in listed organizations.	Commission regularly participates in listed organizations.	ER collects and reports information on participation, including quick responses to USTR and Congress listed in Chairman's quarterly report.
2(a) Obtain feedback from USTR/Congress/other agencies and organizations through focus group discussions.	ER identifies principal recipients of support and schedules focus group discussions.	Focus group discussions identify areas for enhancing the level of trade policy support.	Results of focus group discussions show improvement over FY 2000.	ER compiles results of focus group discussions.